

US Department of Commerce
Patent and Trademark Office

Form PTO-1449 (Modified)

Atty. Docket No.:

002821.P001X

Application No.:

Not Yet Assigned

Applicant:

Jones et al

#4

Filing Date:

Concurrently Herewith

jc525 U.S. P. 09/495982

02/01/00

US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
D	08/24/82	4,346,442	Musmanno			
D	03/15/83	4,376,978	Musmanno			
D	06/24/86	4,597,046	Musmanno et al.			
D	02/10/87	4,642,767	Lerner			
D	03/31/92	5,101,353	Lupien et al	364	408	05/31/89
D	06/30/92	5,126,936	Champion et al	364	408	09/01/89
D	06/21/92	5,132,899	Fox	364	408	10/16/89
D	09/15/92	5,148,365	Dembo	364	402	08/15/89
D	06/22/93	5,222,019	Yoshino et al	364	408	10/03/91
D	07/13/93	5,227,967	Bailey	364	408	03/20/89
D	08/17/93	5,237,500	Perg et al	364	408	02/27/90
D	11/28/95	5,471,575	Glansante	395	144	01/03/92
D	10/08/96	5,563,783	Stolfo et al	364	408	04/04/95
D	11/25/97	5,692,233	Garman	705	36	02/03/95
D	07/01/98	5,784,696	Melnikoff	705	36	06/06/95
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D	01/26/99	5,864,827	Wilson	705	35	06/27/97
D	01/26/99	5,864,828	Atkins	705	36	08/27/91
D	02/23/99	5,875,437	Atkins	705	40	04/15/97
D	03/16/99	5,884,285	Atkins	705	36	01/16/92
D	06/08/99	5,911,135	Atkins	705	36	04/16/91
D	06/29/99	5,918,217	Maggioncalda et al.	705	36	12/10/97
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D	01/11/71	3,634,669	Soumas et al.			
D	07/01/97	5,644,727	Atkins			
D	01/26/88	4,722,055	Roberts			
D	05/03/88	4,742,457	Leon et al.			
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D	06/18/91	5,025,138	Cuervo			
D	01/07/97	5,592,379	Finfrock et al.	395	239	10/06/94

Examiner

Thomas A. Dizon

Date Considered

8/22/02

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

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D	03/20/90	4,910,676	Alldredge			
D	12/31/96	5,590,037	Ryan et al.			
D	06/12/90	4,933,842	Durbin et al.			
D	01/29/91	4,989,141	Lyons et al.			
D	09/26/95	5,454,104	Steidlmayer et al.			
D	06/15/93	5,220,500	Baird et al.			
D	08/28/90	4,953,085	Atkins			
	05/03/88	4,742,457	Leon et al.	364	408	08/27/85
	09/15/92	5,148,365	Dembo	364	402	08/15/89
	07/13/93	5,227,967	Bailey	364	408	03/20/89
	06/04/96	5,523,942	Tyler et al.	364	401	03/31/94
	11/25/97	5,692,233	Garman	705	36	02/03/95
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D	12/01/93	0 572 281 A1	Europe	G06F	15/30	Yes
D	02/29/96	WO 96/06402	PCT	G06F	17/60	Yes
D	10/08/98	WO 98/44444	PCT	G06F	19/00	Yes
D	04/02/98	WO 98/13776	PCT	G06F	17/60	Yes

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

D	International Search Report; PCT/US 98/19920
D	International Search Report; PCT/US 98/19951
D	International Search Report; PCT/US 98/19952
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D	Nikolopoulos and Fellrath, "A Hybrid Expert System for Investment Advising", IEEE, 1994, pp. 1818-1820
D	Eggenschwiler and Gamma, "ET++SwapsManager: Using Object Technology in the Financial Engineering Domain", OOPSLA, 1992, pp. 166-177
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D	"Science and Technology", Business Week, October 7, 1985, p. 108. 3 pages "Financial Planner with heres of ^{Silicon} "
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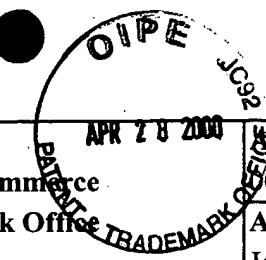
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DD	Keyes, Jessica. "Expert Allocator: Tools for portfolio optimization." Pension Management, pp. 44-46, May 1996.
DD	Paroush, Jacob. "Risk and wealth effects on efficient portfolio." Metroeconomics, vol. 26, No. 1-3, pp. 86-96, 1974.
DD	Voros, J. "Portfolio analysis--An analytic derivation of the efficient portfolio frontier." European Journal of Operations Research, vol. 23, No. 3, pp. 294-300, Mar. 1986.

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Thomas A. [Signature]	8/22/02

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		602821.P001X	09/495,982
		Applicant:	#5
		Jones et al	
		Filing Date:	
Form PTO-1449 (Modified)		February 1, 2000	

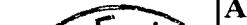
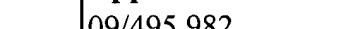
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W	09/22/98	5,812,987	Luskin et al.	705	36	03/13/95
W	09/08/98	5,806,049	Petruzzi	705	36	09/30/96
W	03/16/99	5,884,283	Manos	705	30	09/05/96
W	04/11/97	5,884,287	Edesess	705	36	04/11/97
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W	10/06/98	5,819,238	Fernholz	705	36	12/13/96
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	12/31/96	5,590,037	Ryan et al. copy paper, #4	395	204	09/17/93

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Examiner's Initials	Document			Sub-		
	Date	Number	Country	Class	Class	Translation
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W	12/03/98	WO 98/54666	PCT	G06F	17/60	
W	04/01/99	WO 99/15985	PCT	G06F	15/30	
W	05/06/99	WO 99/22323	PCT	G06F	17/60	
W	02/21/91	WO 91/02326	PCT	G06F	15/21	
Examiner	<i>Thomas A. Dixon</i>		Date Considered	8/22/02		

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	Applicant: Jones, et al.	
	Filing Date: February 1, 2000	
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Sharpe, William F., AAT Asset Allocation Tools, The Scientific Press, 1985, pp. 84-85; pp. 93-96.

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